

COMPAS Notes

Revised January 17, 2023

[Assessment Notes](#)

[Case Plan Notes](#)

[General Notes](#)

[Program Notes](#)

[Note Sub-Types](#)

[Use of Confidential Notes Button](#)

Refer to current [COMPAS Notes Reference Guide](#) located on MyDOC.

All DAI staff trained in COMPAS will use notes to report pertinent information about an inmate.

Notes are subject to Open Records. If an Open Records request is received, contact the site coordinator and Records Custodian for the site.

Only one note can be opened at a time, however, more than one note type may be entered at the same time.

Users can edit notes up to 8 hours after initial entry. Any notes that need to be edited after this period of time, user should contact their supervisor to unlock the note for editing or deleting.

Check with a supervisor before entering notes about an open investigation, especially those involving law enforcement.

Reference to warning cards or conduct reports should not be documented, however, observed behavior can and should be.

- Do this: "Inmate was involved in a physical altercation with another inmate in the dayroom. Additional medical attention was required for the individuals involved."

- Not this: "Inmate was in a physical altercation with another inmate in the day room. Shift supervisor was contacted and he was placed in TLU. Inmate was issued a conduct report for fighting. Additional medical attention was required for the individuals involved. He was found guilty of fighting and received 30 days disciplinary separation plus restitution for medical costs."
- Do this: "While conducting a search of the inmate's property, he was found to be in possession of several items that are not permissible per institution policy. Inmate was advised contraband would need to be destroyed."
- Not this: "While conducting a search of the inmate's property, he was found to be in possession of several items that are not permissible per institution policy. Inmate was told he would be receiving a conduct report."

PREA cases are be highly sensitive and highly confidential and should be marked as such. It is recommended that the Victim Services Coordinator and COMPAS Site Coordinator be involved in determining appropriateness of entering a note into COMPAS. Victim information is not to be included in Notes.

Security Threat Group (STG) information can be highly sensitive and highly confidential and should be marked as such. It is recommended that a STG Coordinator and COMPAS Site Coordinator be involved in determining appropriateness of entering a STG related note into COMPAS.

Note Types

DAI will use the following Note types:

Assessment Notes:

This pertains only to the COMPAS assessment process (including the AST). An assessment note shall be written regarding the inmate's level of cooperation during the assessment process. It shall also provide a summary of the discussion with the inmate regarding the results of the assessment.

Examples of what should be documented:

- Inmate's level of participation (e.g., cooperation, resistance, refusal, etc.)
- Discrepancies between file information and inmate self-report

- When changing information previously entered by a different screener (e.g., number of arrests, current arrest, types of arrest, etc.)
- Use of additional services (e.g., LEP or ADA services requested/refused, read to inmate due to low reading level)
- Any additional information provided by the inmate outside of questions being asked as part of the process interview/screener evaluation process

Case Plan Notes:

Case plan notes shall be used for any contact that is considered a meaningful face to face contact with quality case planning involved including but not limited to in preparation for reclassification, parole hearing, release, etc.

The Case Plan Note shall be documented in this format:

Check in:

Review:

Criminogenic Need Addressed:

Intervention/Risk Reduction Strategy:

Assignment:

Other: (if applicable)

Next Appointment:

General Notes:

This pertains to information related to the general case management of the inmate.

Examples of what should be documented:

- Observed behaviors (positive and negative) related to conduct, interaction with others, abnormal, work performance, etc.
- Referral to another department
- Correspondence with inmate directly or third party
- Use of BITs or other alternative interventions to address problematic behavior/attitudes

Program Notes:

All COMPAS trained program providers shall utilize COMPAS notes to document inmate program participation. There are subtypes for each primary program. When making a note regarding a non-primary program, select subtype "Program-Other." This pertains to information related to the inmate's current program involvement and replaces chronological notes.

Examples of what should be documented:

- Program enrollment/refusal
- Program participation/progress
- Counseling regarding attitude/performance

Note Sub-Types

DAI has created specific subtypes for notes, which are required for General and Program notes. This will assist when filtering notes.

Note: Conduct reports and warnings shall not be referenced in Notes. Observed behavior can and should be documented in "Behaviors/Observations."

[Use of the Confidential Notes button:](#)

The confidential button in COMPAS notes shall be checked for any confidential information including all individually identifiable medical, dental, mental health and SUD information. This includes diagnosis of a need for medical, dental, mental health and SUD treatment, and any health care services (treatment) provided, victim information (phone number, address, sensitive crime details, victim view on early discharge, etc.), and indications of acting as a confidential informant. This information shall be stored in a separate note than other non-confidential information, which should be made available. In other words, do not restrict shareable information by combining it in one note with confidential information and marking the entire note confidential.

DOC Employees should only access records in COMPAS that are related to their caseload or if there is a legitimate business reason to access the record.

Acceptable: Checking notes of a co-defendant for payment information

Not Acceptable: Checking in COMPAS for the name of a person in the paper today, who has no connection to the user's caseload.

Requests for confidential notes will require a DOC-1163A Authorization for Use and Disclosure of Protected Health Information (PHI). These requests should be processed like any other request for records.

In order to share as much information as possible, any diagnosis and treatment post-diagnosis information should be documented in a separate note marked confidential. See the example below:

NOTE NOT MARKED CONFIDENTIAL		SEPARATE NOTE MARKED CONFIDENTIAL
<p>Joe went to his support groups. He attended three this week and has found a sponsor.</p> <p>Joe attended his court ordered AODA assessment.</p> <p>A non- treatment related random UA was taken and showed positive for cocaine use. Joe indicated he used three days ago and has been in contact with his sponsor several times since then, which he believes has helped.</p> <p>Joe attended his psychiatric evaluation. (Unless entered by someone qualified to make a diagnosis, such as a psychiatrist, psychologist, etc. If this is entered by a qualified person, this note would be marked confidential)</p>		<p>Joe's assessment diagnosis and dependency. He will be in treatment three times per week for two weeks. He attended his first session. He attended his first session where they learned about the effects of alcohol and drugs on the brain.</p> <p>PLEASE NOTE IF THIS WAS A COURT ORDERED UA, IT WOULD BE MARKED CONFIDENTIAL</p> <p>Joe attended his psychiatric evaluation. He was diagnosed with depressive disorder. He will continue to see Dr. Jones for the treatment of his condition.</p>

<p>Joe attended Cognitive Behavioral Treatment and is working on the ABC model. He practiced his skills in group.</p>		
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